



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jan Stallaert et al.
Serial No.: 09/067,640
Filed: April 27, 1998
Art Unit: Not assigned
Examiner: Not assigned
For: APPARATUS FOR TRADING OF BUNDLED ASSETS
INCLUDING BUNDLE SUBSTITUTION AND
METHOD THEREFOR

SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. § 1.56 and § 1.97, Applicants submit herewith patents, publications or other information that they believe may be material to the patentability of this application. A copy of the references cited in the attached Supplemental Form PTO-1449 are enclosed.

CERTIFICATION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on October 11, 1999.

Signature

Toni Asendorf

(Printed name of person certifying)

Respectfully submitted,

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368:18608-P001C1

Serial No.: 09/067,540

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS' INFORMATION DISCLOSURE STATEMENT

Group: Not assigned

Atty. Docket No.: 18608-P001C1

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA	5,689,652	11/18/97	Lupien et al.	395	237	
ABC	5,873,071	02/16/99	Ferstenberg et al.	705	37	
ACA						
ADA						
AEA						
AFA						
AGA						
AHA						
AIA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
ANA							
AOA							
APA							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

_____AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.

_____ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.

_____ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASC/AFCEC Conference, Aix-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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368:18608-P001C1